



Department of Defense DIRECTIVE

AD-A272 369



June 26, 1989
NUMBER 5160.54

USD(P)

SUBJECT: DoD Key Asset Protection Program (KAPP)

- References:
- (a) DoD Directive 5160.54, subject as above, December 5, 1986 (hereby canceled)
 - (b) DoD 5025.1-M, "Directives System Procedures," April 1981, authorized by DoD Directive 5025.1, December 23, 1988
 - (c) "Internal Security Act of 1950," Section 5(b), as amended (Title 50, United States Code, Section 784(b))
 - (d) DoD Directive 3025.12, "Employment of Military Resources in the Event of Civil Disturbances," August 19, 1971
 - (e) DoD Directive 5200.8, "Security of Military Installations and Resources," July 29, 1980
 - (f) DoD Directive 5220.22, "DoD Industrial Security Program," December 8, 1980

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to:

1. Continue the KAPP to require the identification of Key Assets for land defense planning and to provide policy guidance for planning to protect Key Assets.
2. Update DoD policy, responsibilities, and procedures for administering KAPP.
3. Designate the Commander in Chief, Forces Command (CINCFOR), as the DoD Executive Agent for KAPP.
4. Authorize the publishing of the DoD Key Assets List (KAL) as part of KAPP.
5. Continue the authorization to publish DoD 5160.54-R, consistent with reference (b).
6. Delegate authority for carrying out reference (c).

B. APPLICABILITY AND SCOPE

This Directive:

1. Applies to the Office of the Secretary of Defense (OSD); the Military Departments; the Chairman, Joint Chiefs of Staff (CJCS); the Unified and Specified Commands; the Defense Agencies; and the DoD Field Activities (hereafter referred to collectively as "DoD Components").
2. Shall govern KAPP activities by all DoD Components in the 50 States, the District of Columbia, Puerto Rico, and U.S. territories and possessions.

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C. DEFINITIONS

The terms used in this Directive are defined in enclosure 1.

D. POLICY

It is DoD policy to:

1. Implement the U.S. Government policy that the United States shall have an emergency mobilization preparedness capability to ensure that Government at all levels, in partnership with the private sector and the American people, can respond decisively and effectively to any major national emergency with defense of the United States as the first priority.

2. Develop and promote the security of Key Assets within the United States and in U.S. territories and possessions by providing to the owners or managers of such assets appropriate advice, guidance, and planning assistance on the application of physical security and emergency preparedness measures. Such assistance is designed to encourage owners and civil law enforcement agencies to protect Key Assets from sabotage, espionage, and other hostile or destructive acts, and to minimize the effect of attack damage.

3. Recognize that, in peacetime, responsibility for protecting Key Assets, and for structuring their physical security, rests primarily with their civil sector owners and with local, State, and Federal law enforcement authorities. However, the Department of Defense must participate with the civil sector and such law enforcement authorities in planning for the protection of Key Assets during a national security emergency, and must be prepared, in concert with the appropriate authorities and within defense priorities, to assist in their protection. (See DoD Directive 3025.12, reference (d).)

4. Recognize the inherent responsibility of owners to protect their property. The Department of Defense shall not replace the primary responsibility of others for the physical security of any privately owned assets; federally owned assets under the control of any other Federal Department, Agency, or contractor; or assets owned by any State or political subdivision of any State.

5. Plan for the protection of military facilities in accordance with DoD Directive 5200.8 (reference (e)). Military facilities shall not be considered "Key Assets" for KAL purposes (except any Government-owned-contractor-operated (GOCO) facilities whose security is the sole responsibility of the contractor). Infrastructure assets that are required for continued operation of a military facility may be nominated as Key Assets.

6. Ensure that actions to protect Key Assets are included in military contingency plans for Land Defense of the United States and Military Support to Civil Defense (MSCD). Such plans must be sufficiently flexible and well-coordinated to be implemented by military commanders, when directed, to protect single Key Assets, to protect clusters of Key Assets in proximity to each other (whether in one or more States or military areas of responsibility), or to protect all Key Assets in any specified area of operations consistent with forces available.

7. Recognize that specific preparedness measures to protect Key Assets can be taken by the following:

a. Governors and their National Guard forces for counterterrorism or other law enforcement missions before a national security emergency.

b. The Secretary of the Army under peacetime civil disturbance authorities.

8. Facilitate the employment of military resources to ensure the protection of Key Assets, including the implementation of one or more plans to protect specific Key Assets, when directed through any of the following channels:

a. By the President or the Secretary of Defense during any period of actual or anticipated enemy attack on the United States, through one or more orders delegating implementation authority to military commanders through the CJCS.

b. By the President, in the event of a threat from a peacetime civil disturbance, under one or more orders delegating implementation authority to the Secretary of the Army through the Secretary of Defense under the authority of DoD Directive 3025.12 (reference (d)).

c. By a State Governor, under State law, to employ the State Area Command (STARC) or other National Guard forces to protect Key Assets against terrorist or other criminal threats before federalization of the National Guard.

E. RESPONSIBILITIES

1. The Under Secretary of Defense for Policy (USD(P)) shall:

a. Provide policy direction, guidance, and advice through the CJCS to the DoD Executive Agent for the implementation and development of KAPP as an element of national security emergency preparedness.

b. Represent the Secretary of Defense with other Federal Departments and Agencies and with industry in the development, review, and approval of standards for physical security of all Key Assets.

c. Coordinate such agreements with other Federal Departments and Agencies as may be appropriate for this program.

d. Develop and lead a process for biennial review of the KAL with the Under Secretary of Defense (Acquisition) (USD(A)), the CJCS, and the DoD Executive Agent. That review shall include an analysis of the content of the KAL, the nominations by DoD Components to the KAL, and the status of planning to protect Key Assets to ensure compliance with this Directive and to facilitate development of KAPP as an element of DoD emergency mobilization preparedness.

e. Maintain and revise this Directive.

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2. The Under Secretary of Defense (Acquisition) (USD(A)) shall:

a. Support and facilitate collection by the DoD Executive Agent of nominations by the DoD Components of industrial assets and infrastructure assets, including telecommunications assets, for inclusion in the KAL. These actions follow development of the biennial review process for the KAL led by the USD(P).

b. Review the KAL biennially with the USD(P), the CJCS, and the DoD Executive Agent.

c. Nominate Key Assets, as appropriate.

3. The Chairman, Joint Chiefs of Staff (CJCS), shall:

a. Develop, test, assess, and refine a software model to support and assist the DoD Executive Agent in the continuing review of the KAL as an element of DoD emergency mobilization preparedness.

b. Review the KAL biennially with the USD(P), the USD(A), and the DoD Executive Agent.

c. Provide the DoD Executive Agent with information from the Commander in Chief's Critical Items Lists (CINC's CILs), as appropriate, for the performance of responsibilities under this Directive.

d. Provide planning guidance to the DoD Components and the DoD Planning Agents (as defined in paragraph E.5.a., below) and other responsible commanders on plans, priorities, and resources for the protection of Key Assets.

e. Upon receipt of the KAL from the DoD Executive Agent, forward it to the USD(P) for biennial review with recommendations as to the deletion, addition, or modification of the listed Key Assets.

4. As DoD Executive Agent for KAPP, the Commander in Chief, Forces Command (CINCFOR), shall:

a. Administer, publish, and distribute the KAL.

b. Develop, publish, and administer DoD 5160.54-R, consistent with DoD 5025.1-M (reference (b)).

c. Exercise classification authority for KAPP, and publish classification guidance.

d. Obtain nominations to the KAL from the DoD Components.

e. Be prepared to recommend to the CJCS action to be taken in the Continental United States (CONUS) based upon the threat analysis provided by the Defense Intelligence Agency (DIA).

f. Coordinate with the Federal Emergency Management Agency (FEMA), and with other Departments and Agencies, as required, to solicit nominations of infrastructure assets (except telecommunications).

g. Coordinate with the Manager, National Communications System (NCS), to solicit nominations of telecommunication assets.

h. Submit the KAL to the CJCS, and coordinate with the CJCS for continuous review of the content of the KAL.

i. Coordinate with the DoD Planning Agents and furnish information to them.

j. Coordinate with the Director, Defense Investigative Service (DIS), to facilitate training and information of DIS Industrial Security Representatives on threats to Key Assets and other planning matters, and provide guidance to the Director, DIS, for the conduct of Key Asset vulnerability surveys.

k. Coordinate with the Director of the Defense Security Institute (DoDSI) to facilitate KAPP training and orientation.

l. Provide appropriate guidance to the DoD Components and the DoD Planning Agents for their compliance with this Directive.

m. Designate those industrial and infrastructure Key Assets that require on-site surveys by the DIS, and inform the DIS of such survey requirements.

n. Provide guidance to the DoD Planning Agents, as appropriate, to facilitate the assessment by military planners of the external vulnerabilities of all Key Assets.

5. The DoD Planning Agents

a. The following are designated DoD Planning Agents for KAPP for the geographic areas indicated:

(1) Commander in Chief, Forces Command (CINCFOR) (48 contiguous States and the District of Columbia).

(2) Commander in Chief, U.S. Atlantic Command (USCINCLANT) (Puerto Rico and U.S. possessions in the Atlantic and Caribbean areas).

(3) Commander in Chief, U.S. Pacific Command (USCINCPAC) (Hawaii, U.S. possessions, and U.S. trust territories in the Pacific area).

(4) Commander, Alaskan Air Command (COMAAC), who is Commander, Joint Task Force Alaska, when activated (Alaska).

b. The DoD Planning Agents for KAPP shall:

(1) Coordinate, guide, and support activities of the STARCs to develop protection plans for the security of Key Assets in coordination with local, State, and Federal law enforcement authorities, in accordance with planning guidance provided by the CJCS.

(2) Monitor and support protection surveys and vulnerability analyses of Key Assets by the DIS in their geographic areas.

(3) Nominate Key Assets, as appropriate.

(4) Support the DoD Executive Agent and the CJCS by facilitating and coordinating contingency planning by all DoD Components within assigned geographic areas in accordance with the requirements of this Directive.

(5) Develop procedures and planning guidance to ensure the effective assessment of external vulnerabilities of Key Assets, as appropriate.

6. The Secretaries of the Military Departments, the Commanders in Chief of the Unified and Specified Commands, and the Directors of Defense Agencies shall:

a. Nominate assets in the United States or U.S. possessions or territories for inclusion on KAL, designate their category of importance, and place them in precedence order in accordance with enclosures 1 and 2 and the instructions of the DoD Executive Agent.

b. Respond to requests for essential information from the DoD Executive Agent or the DoD Planning Agents.

c. Provide guidance to the Military Services and subordinate elements to facilitate their planning with the DoD Planning Agents and with appropriate law enforcement agencies to protect Key Assets.

d. Review biennially all of their respective nominations for the KAL and recommend changes to the KAL in accordance with the instructions of the DoD Executive Agent.

e. Provide the CJCS (ATTN: J4(LPD,MPP)) with a current copy of the Critical Items List, or similar list, sponsored and maintained by each Military Service and DoD Agency.

f. Comply with the requirements of the DoD Executive Agent in accordance with this Directive.

7. The Secretary of the Army, in conjunction with the DoD Executive Agent, shall:

a. Ensure that Regulations, plans, and procedures governing military support to law enforcement in civil disturbances, as promulgated under DoD Directive 3025.12 (reference (d)), facilitate response by DoD Components to protect Key Assets under any conditions or circumstances covered by that Directive.

b. Develop essential guidance for participation by the STARCs in the KAPP.

8. The Secretary of the Navy shall:

a. Solicit information identical to that required for DoD Components from the Commandant, U.S. Coast Guard (USCG), and submit that information to the DoD Executive Agent.

b. Facilitate participation by the USCG in planning for the protection of Key Assets.

9. The Secretary of the Air Force shall:

a. Solicit information identical to that required for the DoD Components from the Federal Aviation Administration (FAA) and shall submit that information to the DoD Executive Agent.

b. Facilitate participation by the FAA in planning for the protection of Key Assets.

10. The Director, Defense Investigative Service (DIS), shall:

a. With the permission of owners of Key Assets, conduct on-site surveys, to include a vulnerability analysis, for each Key Asset that is designated by the DoD Executive Agent as requiring on-site inspection. Such surveys shall:

(1) Assess vulnerability to sabotage, espionage, and other hostile or destructive acts.

(2) Determine adequacy and effectiveness of physical security and emergency preparedness measures, and provide recommendations.

b. Coordinate with the DoD Planning Agents for each geographic area, as required, and permit one representative from the cognizant STARC, and, if required, one representative from the U.S. Army Corps of Engineers (USACE), to accompany the Industrial Security Representative during each KAPP survey.

c. Provide KAPP surveys to the DoD Executive Agent for inclusion in the KAL data base.

d. Maintain liaison with the DoD Executive Agent and the DoD Planning Agents, and consult with industry, as required.

e. Develop KAPP survey procedures in coordination with the DoD Executive Agent, and support courses of instruction to orient and train both Government and industry personnel on KAPP surveys.

f. Use resources allocated to manage and administer DIS responsibilities for the DoD Industrial Security Program under DoD Directive 5220.22 (reference (f)).

11. The Director, Defense Intelligence Agency (DIA), in coordination with CINCFOR and the Federal Bureau of Investigation (FBI), shall:

a. Develop procedures for continuous analysis of the hostile intelligence, special operations, and terrorist threats to Key Assets.

b. Advise the DoD Executive Agent, the CJCS, and the DoD Planning Agents of hostile threats to Key Assets in their areas of responsibility as soon as such threats become known.

12. The Director, Defense Mapping Agency (DMA), shall:

a. Solicit information identical to that required for DoD Components from the National Oceanic and Atmospheric Administration (NOAA) and the U.S. Geological Survey, and submit that information to the DoD Executive Agent.

b. Support the DoD Executive Agent's requirements for maps needed for KAPP.

13. The Director of the Defense Security Institute (DoDSI) shall establish, develop, and conduct instruction courses for orienting and training both Government and industry personnel on KAPP.

F. INFORMATION REQUIREMENTS

The KAL is assigned Report Control Symbol DD-POL(BI)1747.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward one copy of implementing documents to the Under Secretary of Defense (Policy) and one copy to the DoD Executive Agent within 120 days. Inquiries and implementing documents of the DoD Components shall be addressed to the DoD Executive Agent, ATTN: FC-J5, Ft. McPherson, GA, 30301-6000.



Donald J. Atwood
Deputy Secretary of Defense

Enclosures - 2

1. Definitions
2. Selection Criteria

DEFINITIONS

1. DoD Executive Agent. The individual designated by position to have and to exercise the assigned responsibility and delegated authority of the Secretary of Defense, as specified in this Directive.
2. DoD Planning Agent. An individual designated by position to facilitate and to coordinate contingency planning by all DoD Components within an assigned geographic area in accordance with this Directive.
3. Industrial Asset. Any factory, plant, building, or structure used for manufacturing, production, processing, repairing, assembling, storing, or distributing a product or components deemed essential to a DoD Component.
4. Infrastructure Asset. Any communication or computer facility or system; any energy source or distribution system; any air, rail, road, or water transportation asset; and any other facility that is required to support an industrial asset listed in KAL or a military facility, or to otherwise support DoD mobilization, deployment, or sustainment efforts.
5. Key Asset. Any industrial asset and any infrastructure asset that is nominated for inclusion on the KAL in accordance with the criteria specified in enclosure 2. Key Assets are owned in all cases by civil agencies or the private sector, and do not include any military facility. (See definition 7., below.)
6. Key Assets List. The published listing of Key Assets, including appropriate information for each Key Asset, as determined by the DoD Executive Agent.
7. Military Facility. A facility subject to the custody, jurisdiction, or administration of any DoD Component. This term includes, but is not limited to, military reservations, installations, bases, posts, camps, stations, arsenals, or laboratories where a DoD Component has operational responsibility and has responsibility for facility security and defense. Examples are facilities where orders or regulations for protection and security have been issued by the military commander or other specified DoD official under 50 U.S.C. 784(b) (reference (c)), as stated in DoD Directive 5200.8 (reference (e)). Both industrial assets and infrastructure assets, which are not owned by the Department of Defense, might exist within the boundaries of a military facility. GOCO industrial plants may be Key Assets if their physical security is the sole responsibility of the contractor.
8. Precedence. A sequential number designation assigned biennially by a DoD Component to a Key Asset to indicate the relative priority order of that Key Asset to the nominating Agency within each category of importance, as defined in enclosure 2.
9. State Area Command (STARC). An Army National Guard headquarters organization, which is sized, developed, manned, and equipped by each State, subject to the approval of the Department of the Army, with the capability of executing mobilization and mobilization preparedness missions and functions that are specified by Army and National Guard Regulations.

SELECTION CRITERIA

A. KEY ASSETS. Any asset nominated for inclusion in the KAL must be either:

1. An industrial asset that produces items on the Commander in Chief's Critical Items List or on a similar list of critical items prepared by a DoD Component, and whose loss would halt or unacceptably delay DoD mobilization, deployment, or sustainment efforts; or

2. An infrastructure asset whose loss would halt or unacceptably delay DoD mobilization and deployment efforts.

B. CATEGORIES OF IMPORTANCE. Key Assets shall be assigned to one of the following categories:

1. Category One. An industrial or infrastructure asset, for which there is no replacement, substitute, or alternative. Partial or complete loss would have an immediate and serious impact on U.S. defense.

2. Category Two. An industrial or infrastructure asset, for which alternative assets are available, but all assets are required for contributing to U.S. emergency needs.